

CERTIFICATE OF COMPLIANCE 2012-13

Office of the Commonwealth Ombudsman

Based on the agency's internal control mechanisms, management, and audit committee advice, I certify that for the financial year ended 30 June 2013, the Office of the Commonwealth Ombudsman, except to the extent detailed in Appendix A, has:

- a) complied with the provisions and requirements of the *Financial Management and Accountability Act 1997* (FMA Act) and the *Financial Management and Accountability Regulations 1997* (FMA Regulations),
- b) exercised the powers delegated by the Finance Minister in the *Financial Management and Accountability (Finance Minister to Chief Executives) Delegation 2010* (the Delegation), as amended from time to time, in accordance with the Delegation, and
- c) complied with reportable financial management policies of the Commonwealth.

My agency has adopted appropriate management strategies for all known risks that may affect the financial sustainability of my agency and is operating within agreed resources for the current financial year.



Date: 13/9/13

CHIEF EXECUTIVE OF THE OFFICE OF THE COMMONWEALTH OMBUDSMAN

Appendix A: non-compliance schedule template

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This schedule specifies details of known instances of non-compliance with the Australian Government financial management framework.

Requirement of non-compliance	Title of relevant section, regulation or policy	Number of instances of non-compliance	The circumstances of non-compliance with the requirements	Action taken
FMA Act	Section 60 Misuse of Commonwealth credit card	4	<p>There was one instance where officials accidentally made personal purchases using public money.</p> <p>There were three instances where officials made purchases without and/or insufficient approval to spend public money.</p>	<p>Officials involved were reminded of the policies and guidelines relating to credit cards.</p> <p>Officials involved were reminded of the policies and guidelines relating to credit cards.</p>
FMA Regulations	Regulation 7 Commonwealth Procurement Guidelines (Act, s64)	5	There were five instances of non-compliance relating to recording executed contracts on AusTender within 42 days.	Clarification and advice provided to delegates and officers regarding the need to apply framework requirements.
	Regulation 9 Approval of spending proposals	21	<p>There were five instances of non-compliance relating to spending of public money without approval.</p> <p>There were 16 instances of non-compliance relating to purchases exceeding the amount approved by the delegate. Most of these related to transactional fees such as credit card surcharges, GST or Central Administration Fees.</p> <p>All transactions were for low values (<\$6,000) with the majority being below \$1,000.</p>	<p>The Office has streamlined its procurement processes and has adopted the process used by the Department of Finance and Deregulation.</p> <p>Clarification and advice provided to delegates and officers regarding the need to apply framework requirements.</p>
The Delegation		NIL		
The financial management policies of the Commonwealth		NIL		
Total reported instances of non-compliance		30		

Appendix B: Financial Sustainability

The Office of the Commonwealth Ombudsman will operate within agreed resources for 2013–14. The Office of the Commonwealth Ombudsman is managing known risks that affect the financial sustainability of the agency.

The Office of the Commonwealth Ombudsman has not sought nor obtained approval for an operating loss for the 2013-14 financial year.